

Safety Management System (SMS) Briefing

Presented to: Verification and Validation Summit

By: Huan Nguyen, Director, Safety Management System

Date: October 23, 2008



Federal Aviation
Administration

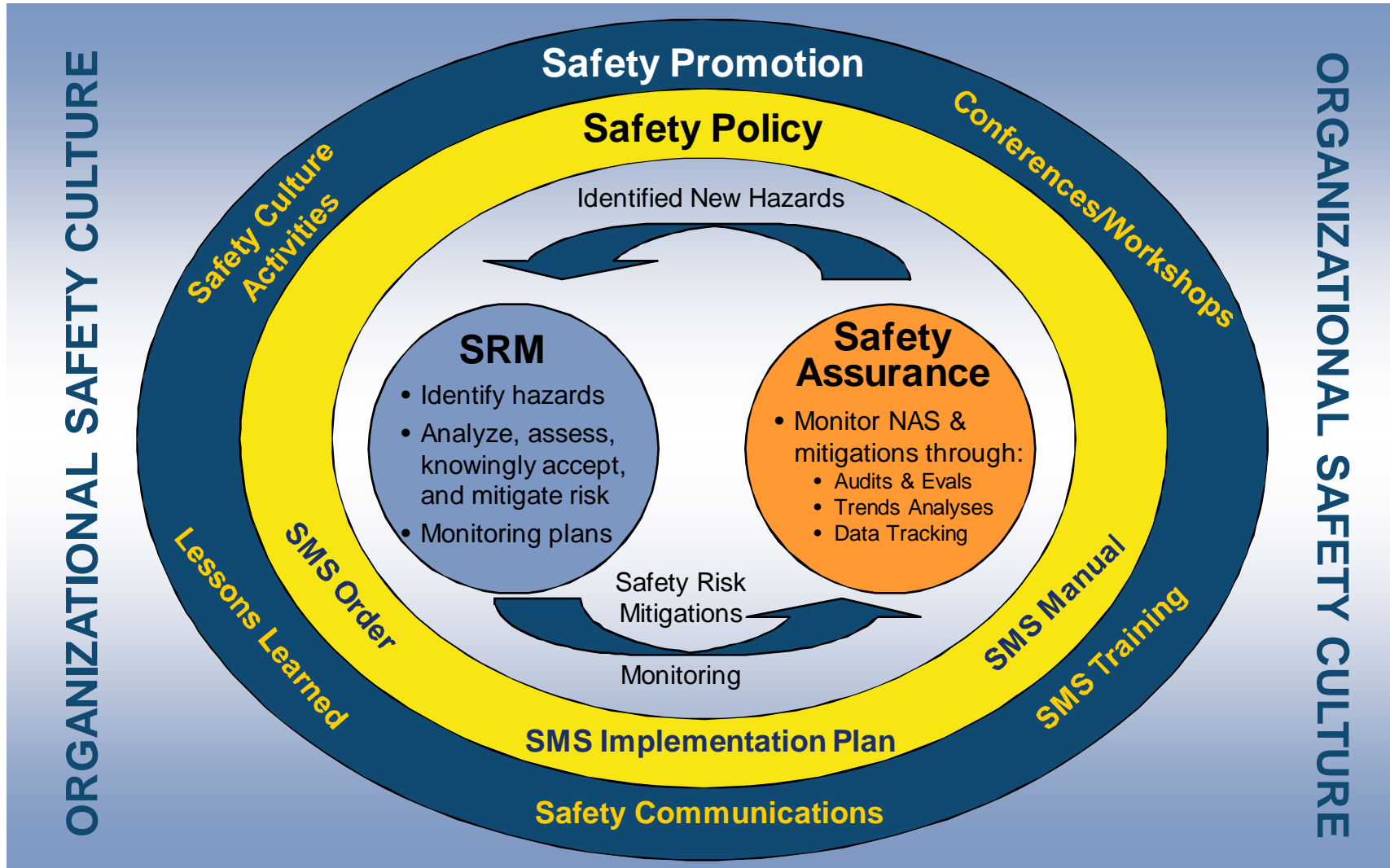


SMS Directorate Mission

Lead the implementation and execution of an effective Safety Management System that will ensure the safety of an efficient and responsive Air Traffic System.



My “Circle of Life”



FY 2008 ATO SMS Accomplishments

Major Accomplishments:

- ATO SMS Manual Version 2.1
- ATO Order JO 1030.0, *Air Traffic Organization Safety Guidance (ATO-SG)*
 - Safety Guidance Alert System
- 1st Annual ATO SMS Summit in Atlanta, GA



FY08 SMS Directorate Accomplishments

Additional Highlights:

- Conducted 10 SRM audits in each of the 4 operational Service Units
- Completed Independent Assessments:
 - Integrated Voice Switch Replacement Follow-up Assessment
 - AMASS Follow-Up Independent Safety Assessment
 - ATOP B2 Radar Follow-Up Assessment
- Briefed 12 facilities on the Safety Culture survey initiative and managed survey administration
- Coordinated delivery of 45 SRM Training courses in FY08



FY08 SMS Directorate Accomplishments

Additional Highlights:

- Developed Safety Assurance Mission Support Tools
 - Deployed CDR Player Plus
 - Began TARP deployment in the Terminal environment
 - Released SATORI XP upgrades to 20 domestic En Route facilities
 - Developed Cedar National Deployment Strategy and trained 23 ARTCCs



FY08 SMS Directorate Accomplishments

Additional Highlights:

- Since the start of FY08 (October 2007), reviewed SRM documentation for more than 140 waivers to separation standards
- Conducted 10 SRM audits in each of the 4 operational Service Units
- Briefed 12 facilities on the Safety Culture survey initiative and managed survey administration



FY09 ATO SMS Initiatives

Office of Safety

- Analyze safety culture surveys conducted during FY 2008 to establish baseline metrics and develop lessons learned and best practices
- Continue to develop SMS training materials to promote full implementation across the ATO
 - This activity will also entail conducting an annual SMS Summit
- Provide SRM training classes to personnel involved with implementing changes to the NAS
- Develop the SMS audit process and conduct SMS audits on the operational ATO Service Units (ATO-T, ATO-W, ATO-E, ATO-R) to ensure SMS compliance



FY09 ATO SMS Initiatives

Office of Safety (continued)

- Manage the monitoring process of implemented mitigations of high risk hazards
- Continue development of the Safety Risk Management Tracking System (SRMTS)
- Begin development of a single Safety Data System to fuse safety information from existing databases (e.g., Facility Safety Assessment System (FSAS), Air Traffic Quality Assurance (ATQA), Runway Safety (RS), Unsatisfactory Condition Report (UCR))



FY09 ATO SMS Initiatives

System Operations Services

- Develop an internal tracking system for all ATO-R NAS changes to facilitate reporting to ATO Safety Services and AOV
- Ensure SRM is applied to all NAS changes initiated by System Operations
- Evaluate progress towards SMS Implementation
- Administer a safety promotion and culture awareness program to increase employee's knowledge base through continuous training and information sharing activities



FY09 ATO SMS Initiatives

Terminal Services

- Institute an SRM Panel Facilitators Mentoring Program
- Incorporate SMS requirements into the next contract solicitation of the Federal Contracts Towers Program
- Modify SMS procedures for the alternate siting process included in FAA Order 6480 (Airport Traffic Control Tower Siting Process)
- Conduct Service Area SRM conferences



FY09 ATO SMS Initiatives

En Route & Oceanic Services

- Review progress toward SMS implementation and develop a roadmap to complete remaining SMS Implementation activities
- Continue coordinating SMS activities with established SMS Point of Contacts (POCs) at all Service Areas/Facilities
- Identify a safety culture activity for all ATO-E employees



FY09 ATO SMS Initiatives

Technical Operations Services

- Validate and compare fielded service availability performance with safety standards

Operations Planning Services

- Implement ATO-P SMS policy and guidance by developing and promulgating the requisite directives per FAA Order 1100.37 and by advancing SMS activities throughout the service unit

SMS Directorate: Key Efforts

- Competencies for safety professionals
- Credentialing
- Enhanced SMS training
- Safety Guidance materials
- SRM Tracking System
- Safety Performance Measurements
- Safety case identification and analysis processes
- SRM modeling and simulation laboratory
- SMS Audits

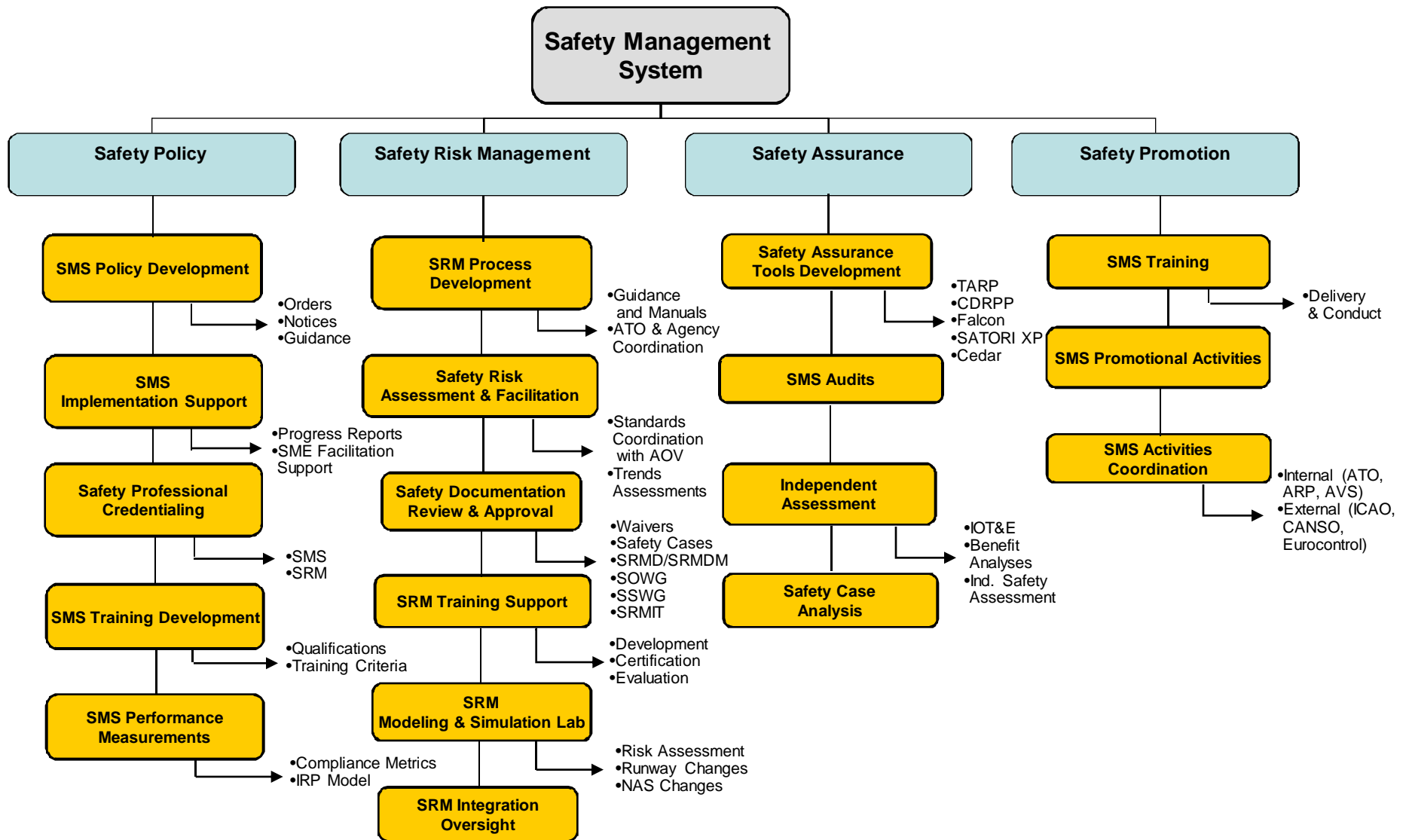


Back-up Slides

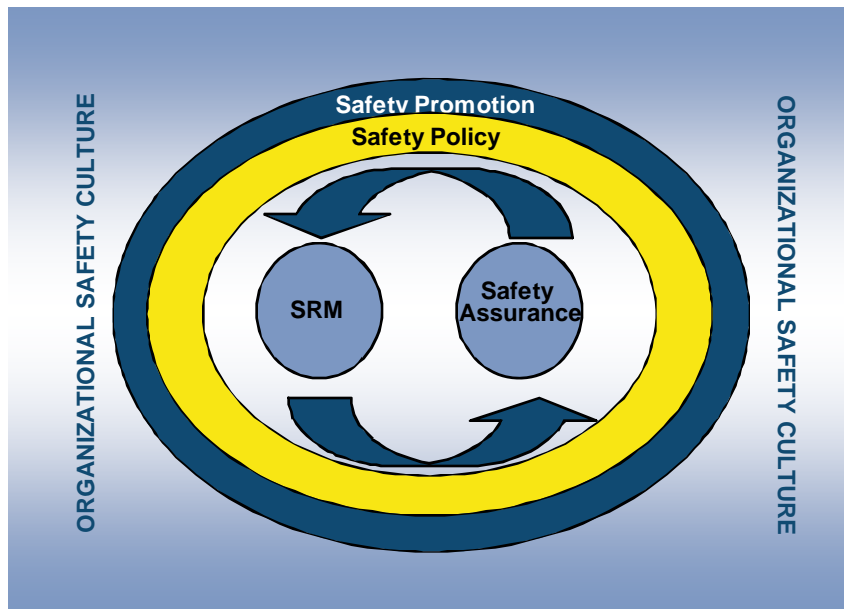
- SMS Policy Office
- SRM Office
- Safety Assurance Office
- Safety Promotion Office
- Points of contact
- Website



SMS Functional Chart

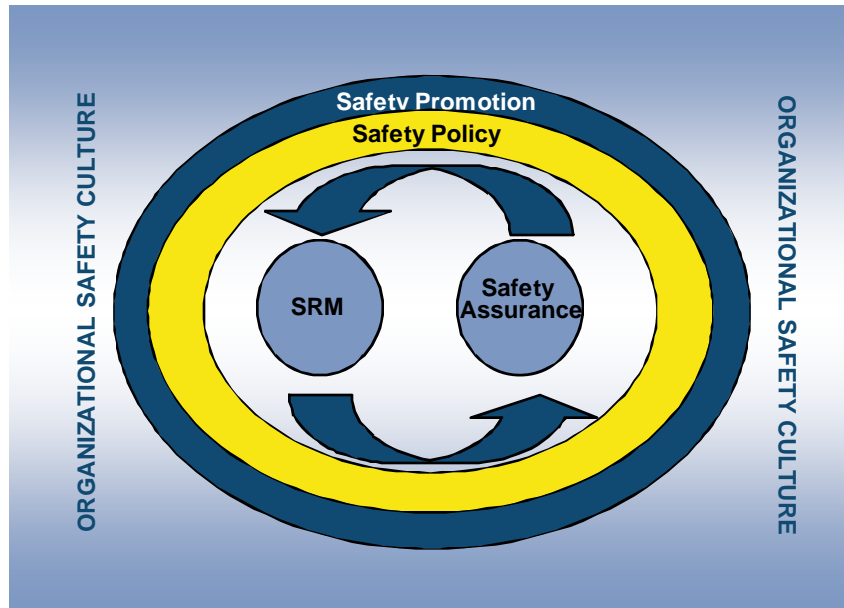


SMS Policy Office



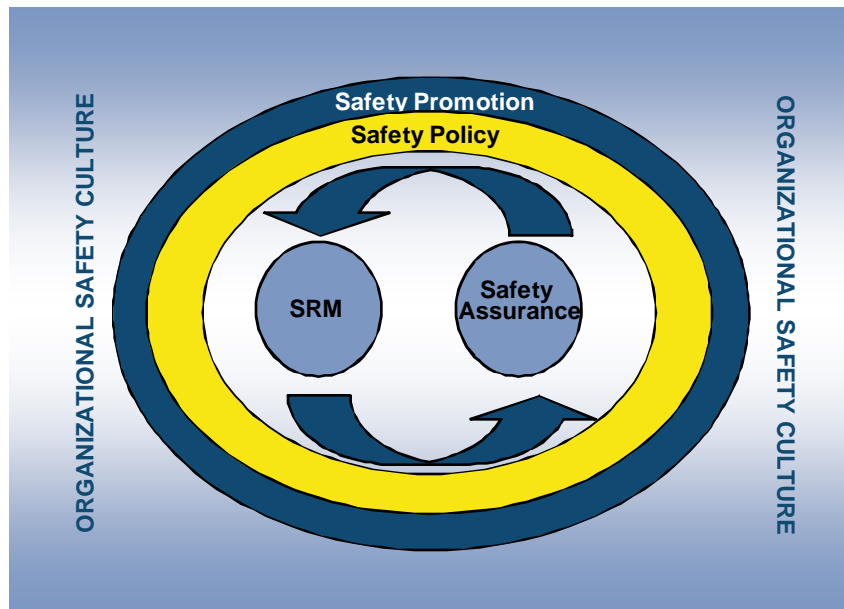
- Develops ATO SMS policy
- Integrates SMS into existing safety-related processes and functions
- Develops SMS training requirements
- Facilitates SMS implementation throughout the ATO
- Provides subject matter expertise to assist Service Units with SMS implementation
- Develops and evaluates Compliance and Performance Metrics
- Develops qualifications and training criteria for safety professionals

SRM Office



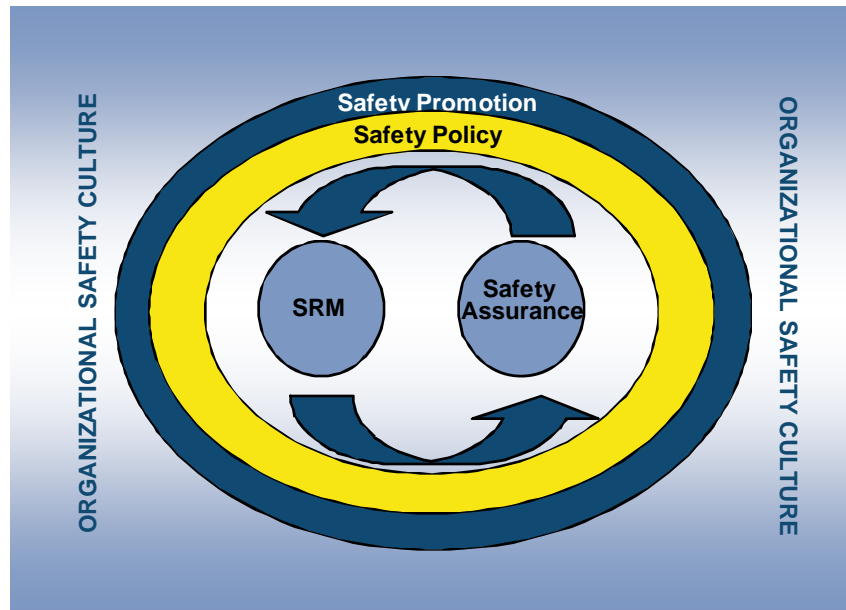
- Develops SRM guidance and processes
- Reviews and approves SRM documentation
- Provides SRM facilitation for ATO
- Coordinates SRM activities with AOV
- Disseminates SRM information
- Manages the monitoring process for implemented mitigations of High risk hazards
- Monitors the integration of SRM processes into all changes to the NAS
- Identifies and tracks hazards
- Confirms residual risk based on the monitoring of implemented mitigation of High risk hazards

Safety Assurance Office



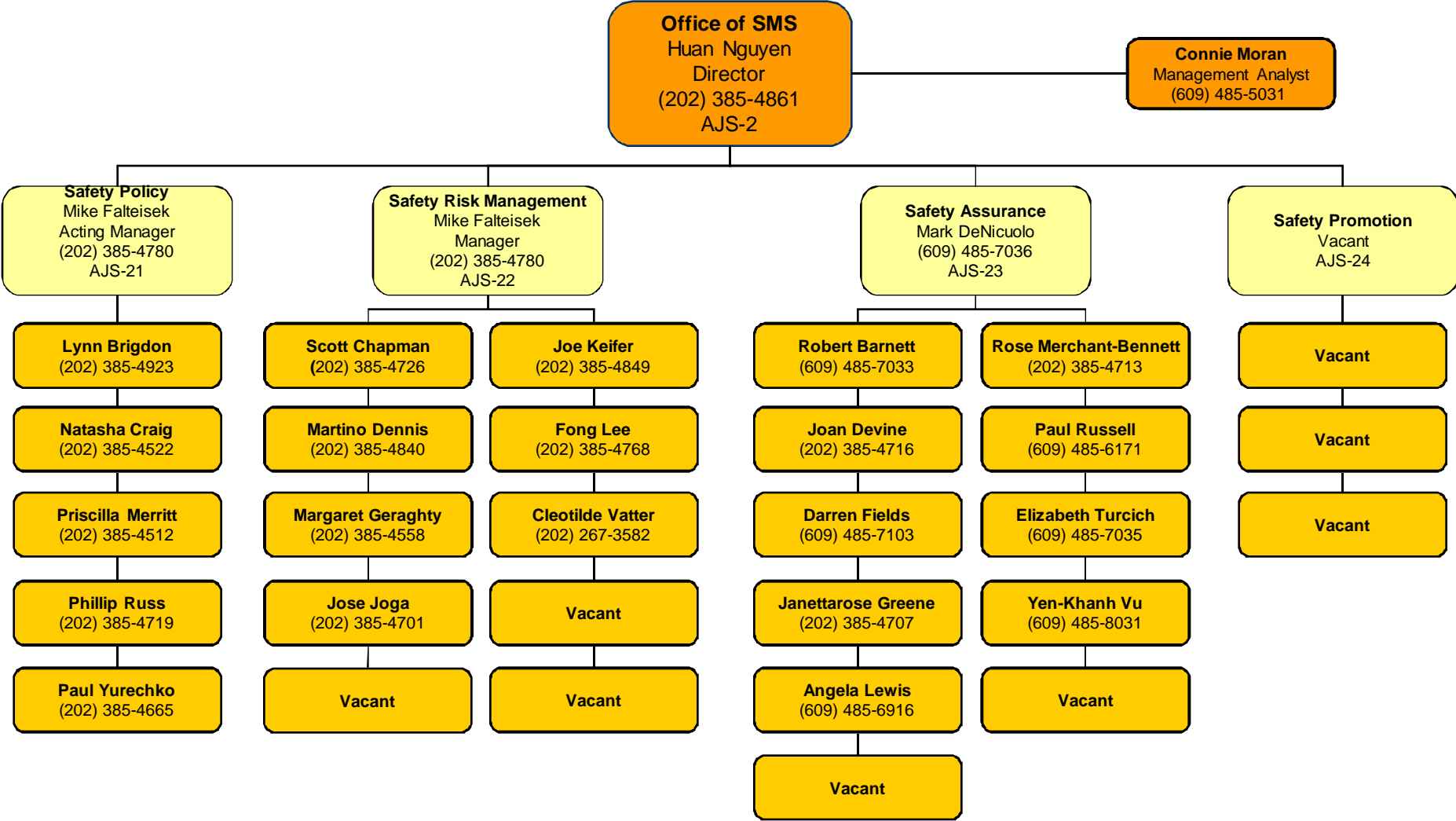
- Conducts IOT&E and Independent Safety Assessments
- Develops requirements for a single Safety Data System to fuse information from existing databases
- Based on trends analyses, identifies and analyzes safety cases
- Conducts SMS/SRM Audits
- Manages Safety Assurance Mission Support Tools
- Supports Investigation and Evaluation Safety/Quality Assurance activities

Safety Promotion Office



- Develops and implements safety promotional activities
- Conducts training to promote SMS implementation and a positive safety culture
- Coordinates efforts between the ATO, Airports, and AVS to ensure consistent SMS implementation
- Supports JPDO and international (ICAO, CANSO, Eurocontrol) SMS activities

SMS Directorate Organizational Chart



Visit Our Website

atoexperience.faa.gov/safetyservices/sms

